A4. CONSER MEMBERSHIP

A4.1. Membership Incentives

The following list includes some of the benefits of participation in the CONSER Program:

- Participation in national and international cooperative bibliographic programs

- Influencing policies for the bibliographic control of serials

- Ability to modify or enhance records in the CONSER database

- Opportunity for staff training by national authorities

- Opportunity for interaction with colleagues at national libraries and other CONSER institutions

- Opportunity to contribute to CONSER documentation

- Sharing of contributed records through national distribution service

- Reduced cost to use the CONSER source records

- Opportunity to serve on standing committees and task forces

- Gratis copy of CONSER documentation

A4.2. Categories of Membership

The four categories of CONSER membership are Full, Associate, CONSER Enhance and Affiliate. Associate Level membership includes cooperative projects as well as single institutions. Refer to A.4.2.3. for a description of project-based membership. A description of each membership category and the obligations related to that level of participation follow.

A4.2.1. Full membership

This category of membership is characterized by national agencies and research institutions that have on an ongoing basis, a high volume of serial bibliographic record creation and maintenance.

1) Criteria for FULL Level Participation in CONSER:

- Use AACR2, LCRIs (US agencies), CONSER documentation and standardized schemes for subject analysis and classification
- Independent NACO participant
- Contribute cataloging output routinely to the OCLC database
- Exhibit a willingness to commit institutional support (staff and financial resources) for program participation
- Demonstrate a commitment to regional and national cooperative cataloging

2) Evaluation of Membership Applications is Based on:

- Strength of the collection and scope of expected subject/language contributions as indicated in the accompanying application
- Quality of contributions based on a sample of bibliographic records
- Experience and strength of serials cataloging operation

3) Database Obligations:

- Authenticate and maintain records for print and non-print serials
- Contribute to Name and Subject Authority Files
- Contribute a minimum of 400 transactions per year, 150 of which are for newly authenticated bibliographic records (full or core)
- Disseminate CONSER records to the cataloging community (LC)

4) Administrative/Governance Obligations:

- Provide in-house training as appropriate (Operations)
- Recommend additions and changes to documentation, including *LC Rule Interpretations, CONSER Editing Guide, CONSER Cataloging Manual*; draft modules for *CCM* (Operations)
- Serve as representatives on Policy and Operations Committees and participate actively in meetings; institution supplies partial funding for committee meetings
- As appropriate, serve on CONSER task forces, draft position papers on serial issues
- Vote on applications for CONSER Enhance membership (Operations)

5) <u>Other Potential Contributions:</u>

- Serve as a mentor to Enhance participants (Operations)
- Serve as a cooperative project coordinator; train project participants; review and monitor contributions (Operations)
- Identify issues of current concern to CONSER and contribute to their resolution
- Serve on task forces related to standards for serials
- Contribute articles to CONSERline and other appropriate journals
- Participate in serials workshops, institutes and other educational or training activities for the cataloging community
- Provide specialized language expertise

A4.2.2. Associate membership

This category of membership includes single institutions and cooperative projects. Single institution members include those with a special subject, language, or format focus, such as state and special libraries, centers, and associations. Also included are smaller research institutions that make broad contributions encompassing a range of subjects, languages and formats. Contributions at this level are generally ongoing but may also encompass a specified time period, as for a specific cataloging project.

Cooperative projects include groups of libraries that are subject, format or regionally based that have joined together to contribute records to the CONSER database. One institution is named as the project coordinator or leader. This may be a CONSER full or associate member, or an institution that is new to the program. The coordinating or lead institution represents the group on the Operations Committee. The coordinator is responsible for training, reviewing records contributed by project members until they achieve independence and begin authenticating their own records, answering cataloging and procedural questions and ensuring that participants have access to appropriate documentation. Project members are responsible for ongoing quality

control of records contributed.

The following criteria and obligations with the exception of the numerical contributions apply to both single institutional members and project members. As part of the application process, project members will provide an estimate of the number of transactions to be contributed.

1) <u>Criteria for ASSOCIATE Level Participation in CONSER</u>

- Use AACR2, LCRIs, CONSER documentation and standardized schemes for subject analysis and classification
- Independent NACO participant
- Contribute cataloging output routinely to the OCLC database
- Exhibit a willingness to commit institutional support (staff and financial resources) for program participation

2) <u>Evaluation of Membership Applications is Based on:</u>

- Scope of expected subject/language/format contributions as indicated in the accompanying application
- Quality of contributions based on a sample of bibliographic records
- Experience and strength of serials cataloging program

3) <u>Database Obligations:</u>

- Authenticate and maintain records for print and non-print serials
- Contribute to Name and Subject Authority Files
- Contribute a minimum of 100 transactions per year that may include first time authentication, subsequent authentication, or maintenance transactions
- Contribute the minimum transactions projected per year (Project members)

4) <u>Administrative/Governance Obligations:</u>

• Provide in-house training as appropriate
• Recommend additions and changes to documentation, including *LC Rule Interpretations, CONSER Editing Guide, CONSER Cataloging Manual*
• Serve as representative on Operations Committee/represent cooperative project on Operations Committee and participate actively in meetings on a rotational basis (Operations, At Large); institution supplies partial funding for committee meetings
• As appropriate, serve on CONSER task forces, draft position papers on serial issues

5) <u>Other Potential Contributions:</u>

• Serve as a mentor for new associate members
• Serve as a cooperative project coordinator; train project participants; review and monitor contributions
• Identify issues of current concern to CONSER and contribute to their resolution
• Serve on task forces related to standards for serials
• Contribute articles to CONSERline and other appropriate journals
• Participate in serials workshops, institutes and other educational or training activities for the cataloging community

A4.2.3. <u>CONSER Enhance Membership</u>

This category of membership is characterized by institutions that enrich and/or maintain certain data in already authenticated records. Enriching records entails adding data to authenticated records that is not present (e.g., MeSH headings, vernacular data, publication patterns, classification numbers, etc.). CONSER Enhance members may elect to retain membership on an ongoing basis, or for duration of a specific project.

1) <u>Criteria for CONSER ENHANCE Level Participation in CONSER:</u>

• Use AACR2, LCRIs, CONSER documentation and standardized schemes for subject analysis and classification, as appropriate to contributions
• Ability to work online to the OCLC database
• Participate in NACO/SACO, as appropriate to expected contributions
• Exhibit a willingness to commit institutional staff support for program participation

2) <u>Evaluation of Membership Applications is Based on:</u>

| • Scope and type of expected enhancement activity as indicated in the application
| • Experience of serials cataloging staff

3) <u>Database Obligations:</u>

• Enhance and/or maintain already authenticated records as well as create and/or maintain unauthenticated records to reflect changes in the serial title
| • Contribute a minimum of 50 transactions per year

4) <u>Administrative/Governance Obligations:</u>

| • Provide in-house training as appropriate
| • As appropriate, serve on CONSER task forces, draft position papers on serial issues

5) <u>Other Potential Contributions:</u>

• Identify issues of current concern to CONSER and contribute to their resolution
• Serve on task forces related to standards for serials
• Contribute articles to *CONSERline* and other appropriate journals
• Participate in serials workshops, institutes and other educational or training activities for the cataloging community

A4.2.5 Affiliate membership

This category of membership is characterized by vendors, organizations or other commercial service providers (e.g., abstracting and indexing services, subscription agencies, publishers) who, through contractual arrangements, enhance and maintain already authenticated records.

1) <u>Criteria for AFFILIATE LEVEL Participation in CONSER</u>

• Affiliate membership is limited to commercial vendors contracting with OCLC for CONSER participation. CONSER contributions are limited to specific fields as defined in the contract.
• Use *AACR2, LCRI's* and CONSER documentation as appropriate
• Have online access to OCLC
• Exhibit a willingness to commit institutional staff support for program

participation

2) <u>Evaluation of Membership Applications is Based on:</u>

- Scope and type of bibliographic data enhanced or maintained as indicated in application
- Quality of contributions based on sample bibliographic records

3) <u>Database Contributions</u>

- Enhance and maintain authenticated records at the pre-determined field-specific level (e.g., the 510 field, fields required to close off a record, etc.)
- Contribute a minimum of 75 transactions per year

4) <u>Administrative/Governance Obligations:</u>

- Provide in-house training
- Are represented at CONSER meetings through the CONSER Coordinator
- Invited and encouraged to attend Operations Committee and At Large meetings; no funding provided
- As appropriate, serve on CONSER task forces, draft position papers on serial issues

5) <u>Other Potential Contributions:</u>

- Identify issues of current concern to CONSER and contribute to their resolution
- Contribute articles to CONSERline and other appropriate journals
- Participate in serials workshops, institutes and other educational or training activities for the cataloging community

| For a list of CONSER members by category of membership, see the CONSER Website:
| http://www.loc.gov/acq/conser/membrshp.html.

A4.3. Application for Membership

Information concerning CONSER membership and an institution's eligibility can be obtained
| from the CONSER Website: http://www.loc.gov/acq/conser/membrshp.html. If an institution is
| considering membership, please contact the CONSER Coordinator, Les Hawkins, (202) 707-
| 5185 or email: lhaw@loc.gov.

Based on the initial communication, the Coordinator will direct the prospective applicant to the likely membership category. A letter from the library's or institution's chief executive must accompany a completed application form. A copy of the forms for the various levels of CONSER membership is found in Appendix D and on the CONSER home page (http://lcweb.loc.gov/acq/conser).

Full and Associate applicants must affirm that, in addition to the administrative and cataloging support needs, their institution is prepared to make resource commitments for the following CONSER related needs or activities:

- Active participation in the managerial and operational concerns of the CONSER Program at large.
- Travel and per diem for staff to attend training sessions at the Library of Congress or elsewhere. CONSER training *per se* is restricted to matters of CONSER conventions and procedures; it does not include basic training in cataloging, MARC tagging, or terminal operations.
- Per diem for representative to attend standing committee meetings. (OCLC funds the airfare travel expenses for standing committee members.)
- Support for the needed complement of terminals or workstations, printers, and telecommunications.

A4.4. The Membership Process

A4.4.1. Role of the CONSER Coordinator

1) Receives request for application from potential member and discusses the process, benefits of membership, and appropriate membership level with the applicant.

2) Receives application and sample records.

3) Assigns a CONSER cataloger within LC or another CONSER institution to review the records for overall quality.

4) If records are of sufficient quality, sends application and recommendation to PCC Steering Committee for approval.

5) If records are not of sufficient quality, discusses with the applicant and may request a second batch.

A4.4.2. <u>Role of the PCC Steering Committee</u>

1)   Evaluate membership applications based on recommendations from Coordinator and criteria in 4.2

2)   Approves or disapproves membership

3)   Recruit new members

         The PCC Steering Committee will, as appropriate, consider inviting institutions to apply for CONSER membership and welcome communication concerning institutions that might be potential members.

4)   Monitor ongoing membership

         The PCC Steering Committee monitors ongoing membership based on materials supplied by the Secretariat. If improvement is needed, the procedures in A4.7. are followed.

5)   Acts on membership conclusion (see A4.7)

A4.4.3. <u>Role of the PCC Policy Committee</u>

1)   Approve criteria for membership

2)   Review goals for membership growth on a periodic basis

A4.4.4. <u>Role of OCLC</u>

1)   Modifies or enters into legal agreements, as appropriate

2)   Assigns CONSER-level log-on authorization (this may be done via the regional network)

A4.5. Getting Started as a New CONSER Member

| Information on getting started as a new CONSER member is available from the CONSER
| Website: http://www.loc.gov/acq/conser/membrshp.html. It includes a training curriculum, a new
| member checklist, and information about the review period.

A4.5.1. Authorization

The first step for a new CONSER member is to request a CONSER-level logon authorization via an OCLC authorization request form. This authorization will allow the new member to update and replace non-LC-authenticated records on OCLC. To request CONSER-level authorization new members should contact their regional network or Robert Bremer at OCLC (800-848-5878; email: bremerr@oclc.org).

A4.5.2. Documentation

Shortly after acceptance to the program, Full and Associate members will receive a copy of the *CONSER Editing Guide*, and the *CONSER Cataloging Manual*. Affiliate members receive a copy of the *CONSER Editing Guide.* Documentation is not provided for CONSER Enhance participants.

A4.5.3. Initial training

To ensure knowledge of CONSER practices, a new Full or Associate member's representative to the Operations Committee normally undergoes an initial training session at the Library of Congress or another CONSER institution[1]. A checklist of material covered in the training is available from http://www.loc.gov/acq/conser/curriculum.html. It is essential that this person be completely familiar with the documentation described above before coming to the training session. Once trained, this person will train the appropriate people at the home institution.

Following an orientation to the work of the Serial Record Division, the representative is assigned to one of the serial catalogers for the duration of the training session. Special attention is given to the sample records submitted during the application process and to particular problems and questions brought by the representative. During the training session the new member's logon authorization is also tested with records created from start to finish.

The nature of the training is customized to meet the needs of the new member but usually focuses on specific CONSER practices and procedures rather than basic serial cataloging.

During or immediately following the training, a block of LCCNs is given to the participant for use on new records.

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[1] In some cases, training may be performed at the participant's institution, or in the case of a cooperative project, at the coordinating institution.

The training for affiliate members generally takes place at their work location and lasts for two
| to three days. CONSER Enhance training is usually accomplished via email.

| A4.5.4. <u>The review period</u>

Following the initial training, the records of the institution undergo review to ensure that
CONSER policies and practices are being properly applied. Bibliographic and name authority
records are reviewed by LC staff, with particular attention given to the application of *LC Rule
Interpretations*, modifications to existing records, and database maintenance routines. Name
headings are checked in the course of the review. Once the review is complete, the new member
| makes any needed corrections and authenticates the record. See a fuller description of the
| CONSER new member review process at http://www.loc.gov/acq/conser/newreview.html.

1) Items sent to LC by the CONSER institution

The full or associate CONSER member sends the following for each record as necessary:

   a. Printouts of newly input records

   b. Printouts of a record before and after being modified by the participant

   c. Printouts of related records that have been modified by the participant
       (e.g., links added, etc.)

   d. Requests for LC modification of related records (e.g., record for earlier title is LC-
       authenticated and link is to be added, etc.). Note: Until the review period is
       completed, any changes to LC-authenticated records must be submitted to LC in
| the form of a modification request. This is done by mailing or faxing a printout marked
       with the desired changes.

   e. All necessary surrogates to support the bibliographic description and name
       headings

   f. Requests for series authority establishment from institutions that do not contribute
       series to NACO

2) Items returned to the CONSER institution

When processing of a batch is completed, the surrogate and printout packages are returned to the
participant. All necessary corrections are noted on the printouts with citations to rules, RIs, or

the *CEG*. The records are then authenticated. Automatic and manual statistics are also generated
which will enable the member to receive credits (see C13).

A4.5.5. Completion of the review period

The review period is completed when the institution demonstrates knowledge sufficient to
independently authenticate records and to modify LC-authenticated records. Successful
completion of the review period will generally three to six months. Ongoing sample review may
be done by the trainer for some time following independence. Surrogates are no longer sent to
the reviewer or trainer except in those situations outlined in C11.

A4.6. Review of Continuing Membership

Membership review consists of the periodic confirmation that all participants are upholding their
membership obligations. The working assumption is that the contributions of the participants
fully conform to expectations. Review of continuing membership takes into account 1) accuracy
of records, 2) volume of activity, 3) type of activity, and 4) degree of participation.

A4.6.1. Accuracy of records

Random accuracy review sampling is limited to new members and those identified as needing
further assistance. Accuracy review is done by senior LC serial catalogers or other CONSER
catalogers. An institution may identify a need for review (e.g., a change in staff), or others may
identify the need to the CONSER Coordinator. If an institution is identified as needing review,
both the Operations and Policy representatives will be notified at the beginning and throughout
the review to assure that they benefit from the comments and suggestions.

A4.6.2. Volume of activity (statistics supplied by participants) (See also C13)

    Authenticated original records, full/core and minimal
    Authentication of existing records, full/core and minimal
    Subsequent authentication of already authenticated records, full/partial and
    minimal
    Maintenance of authenticated records
    Publication patterns added (as appropriate)

A4.6.3. Type of activity (participant-supplied)

    This aspect of membership review consists of a narrative supplied by the participant for

incorporation into the CONSER annual report.

Following are participant guidelines for preparing submissions to the report.

Coverage: Calendar year (Oct. 1-Sept. 30)
Length: About 1 page
Due: September 1st
| Submit to: CONSER Specialist

Topics to be covered (as applicable):
   Staff activities/changes
   Special CONSER-related projects
   Work with other areas of the library/institution
   Acquisitions, etc. of note
   Products from the CONSER database
   CONSER-related publications, articles, etc.
   Sharing of language expertise
   Statistics reflecting any of the above

A4.6.4. <u>Participation</u>

Degree of participation in the operational and managerial concerns of CONSER is also an aspect of continuing membership. Review of participation in CONSER concerns will include, e.g., assessment of a participant's level of representation at meetings and comments on draft documentation.

A4.7. Improvement/Conclusion of Membership

For the overall effectiveness of the program, members must be in good standing. All reasonable efforts are made by the program management to support members to ensure any needed improvement.

A4.7.1. <u>Early indication of need for improvement</u>

The CONSER Coordinator informs the PCC Steering Committee of a member's deficient performance or predicted deficient performance, based on statistical or other information available to the Coordinator. As noted in A4.7, review of continuing membership takes into account 1) accuracy of records, 2) volume of activity, 3) type of activity, and 4) degree of

participation. Deficient performance can include failure to meet quantity standards, quality levels that would be judged insufficient, or lack of participation in CONSER activities.

A4.7.2. <u>Plans for improvement</u>

The Chair of the PCC Policy Committee alerts the member to its performance inadequacies through a telephone call to the appropriate representative and discusses options for improvement sufficient to remain a CONSER member in good standing.

A4.7.3. <u>Time frame for improvement</u>

Within one month of the discussion of performance deficiencies and subsequent communication with the PCC Steering Committee as appropriate, the Chair notifies the member institution in writing of the deficiencies and informs the member that if specified improvements are not made within one year, the institution's membership in CONSER will conclude.

A4.7.4. <u>Assessment of improvement</u>

The PCC Steering Committee reviews correspondence and reports of conversations with the member about performance and reevaluates the member's performance. After six months, a letter describing progress toward improvement is sent to the policy-level representative. If the member's performance has not reached an acceptable level of improvement after one year, allowing for unusual circumstances, the PCC Steering Committee votes to conclude the membership. The Policy Committee Chair notifies the appropriate representative in writing.

A4.8. CONSER Enhance

CONSER Enhance participants maintain and/or enrich CONSER and non-CONSER records. (Exception: NSDP pre-pub records--those with encoding level "8"--may not be revised. For instructions, see C6.)

CONSER Enhance participants *maintain* records by adding, changing, and in some cases, deleting data in order to reflect the current status of the serial. Most of these changes will reflect title changes, cessations, or changes to frequency, issuing body, numbering, and so forth. If headings are added to the record they must be authoritative, i.e., contributed to the Name Authority File.

CONSER Enhance participants *enrich* records by adding data that are not already present in the records, such as special types of classification and subject headings, vernacular data, etc. If an

institution has been accepted to contribute subject-related data, changes are not generally made to the descriptive portion.

A4.8.1. <u>Applying for membership</u>. Information concerning Enhance membership and an institution's eligibility can be obtained from the CONSER Website: http://www.loc.gov/acq/conser/membrshp.html. If an institution is considering membership, please contact the CONSER Coordinator, Les Hawkins, (202) 707-5185 or email: lhaw@loc.gov. An application form is also available on the Website.

Acceptance at the enhance level is dependent on the qualifications of the applicant and the availability of a CONSER institution or LC cataloger to serve as mentor. Based on the geographic location or collection strengths of the applicant, the CONSER Coordinator will select possible institutions and determine availability. Applicants may also make initial inquiries of CONSER institutions with which they are familiar before discussing with the CONSER Coordinator.

The application form is designed to gather information concerning the types of enhance activities being proposed, the experience of the serials cataloging staff, and the anticipated number of contributions. See also A4.2.4. for a further description of the criteria for qualification and responsibilities of enhance membership.

A4.8.2. <u>The membership process</u>

1) Role of the CONSER Coordinator

> Receives application for membership and discusses the process with the applicant
> Selects mentoring institution based on requests from the applicant, availability of CONSER institutions, etc.
> Forwards sample records to mentor for review
> Notifies PCC Policy Committee of application for opportunity to comment
> Notifies applicant of acceptance
> Notifies OCLC of new member
> Notifies enhance member of independence and need for CONSER log-on

2) Role of the Operations Committee

> Suggest potential members based on observed quality of records
> Approve applications
> Serve as mentors
> Provide ongoing comments on the process and suggest improvements as needed

3) Role of the CONSER policy-level representatives

      Provide initial support for an institution's ability to mentor

4) Role of the Mentor

      Reviews records submitted with application and notifies Coordinator of
        acceptability or need for improvement
      Obtains special authorization from OCLC to enter the Enhance member's save
        file
      Provides initial training and review for new enhance member
      Notifies Coordinator of member's readiness for independence

5) Role of the CONSER Specialist

      Provides assistance to mentors and keeps documentation up-to-date
      Adds new members to CONSERLST (CONSER discussion list)

6) Role of OCLC

      Modifies or enters into legal agreements, as appropriate
      Provides INST command to CONSER mentors
      Assigns CONSER-level log-on at time of independence

A4.8.3. Getting started as a new CONSER Enhance participant

1) Documentation

New CONSER Enhance members must subscribe to the *CONSER Cataloging Manual* and
CONSER Editing Guide and should assure that their copies are up-to-date. Gratis copies are not
supplied to Enhance participants. If there are problems in receiving the documentation, contact
the CONSER Coordinator.

2) Initial training/review

It is up to each mentor and new enhance participant to determine where and how to begin work.
If geographically feasible, training may be done onsite at either institution, otherwise, initial
training is accomplished via phone, email, etc. Since CONSER Enhance members are expected
to be experienced serial catalogers, initial training is primarily limited to procedural matters.

During the review period, the CONSER Enhance participant makes changes to CONSER or non-CONSER records, saves them in the participant's save file, and notifies the mentor of the save numbers via email. Using a special OCLC "INST" command, the CONSER mentor accesses the institution's save file, reviews the record, discusses any problematic areas, and updates the record. During the review period, statistics are maintained by the CONSER mentor whose institution also earns maintenance credits. Careful attention is given to use of the "INST" command. No searching may be done while logged into the institution's save file.

3) Independence

Once the CONSER Enhance member exhibits a thorough knowledge of the procedures and is comfortable with CONSER policies and practices, the CONSER mentor recommends to the CONSER Coordinator that the CONSER Enhance member be granted independence. The Coordinator notifies the CONSER Enhance member in writing, with a copy to the PCC Policy Chair, OCLC, and the mentoring institution. The CONSER Enhance member then contacts OCLC for a CONSER-level log-on. Note: there is one CONSER-level log-on that is used by all participants. Enhance members are given the log-on with the understanding that they will limit their activities to those described in their application form.

Once the log-on has been received, the CONSER Enhance member makes changes and updates records directly online. All statistics are kept and reported by the Enhance member institution which also earns OCLC credits at this point.

4) Other aspects of CONSER involvement

CONSER Enhance members are included on the CONSER discussion list, are invited to attend At Large meetings at ALA and may also attend the annual meetings of the CONSER Operations Committee at their own expense. They may also be invited to serve on task forces or contribute in other ways to the development of standards and the ongoing review of the CONSER Program.